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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.	:	10/782,481	Confirmation No.: 5651
Applicant	:	Arthur Telkamp	
Filing Date	:	02/18/2004	
Title	:	LOW-LOSS OPTICAL WAVEGUIDE CROSSOVERS USING AN OUT-OF-PLANE WAVEGUIDE	
Group Art Unit	:	2874	
Examiner	:	Unknown	
Docket No.	:	703427.4004	
Customer No.	:	34313	

Commissioner for Patents
PO Box 1450
Mail Stop Patent Application
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449. In accordance with the USPTO waiver of the requirement under 37 CFR 1.98(a)(2)(i), only copies of foreign patent documents and non-patent literature are enclosed for the convenience of the Examiner.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: November 17, 2004

Karen Johnson

Karen Johnson

DOCSOC1:156853.1

Applicant	:	Arthur Telkamp
Appl. No.	:	10/782,481
Examiner	:	Unknown
Docket No.	:	704317.4004

INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

- ☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR §1.17(p) to the deposit account referenced below.
- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

- ☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.
- ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

Applicant	:	Arthur Telkamp
Appl. No.	:	10/782,481
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STATEMENT UNDER 37 CFR § 1.97(e):

☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.

☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:

☐ A check in the amount of _____ is enclosed for the above fee(s).

☐ Please charge _____ to Deposit Account No. **15-0665** for the above fee(s).

☒ The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Orrick, Herrington & Sutcliffe's Deposit Account No. **15-0665**.

Respectfully submitted,

ORRICK, HERRINGTON & SUTCLIFFE LLP

Dated: November 17, 2004

By: _____
David E. Wang
Reg. No. 38,358

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Substitute for form 1449A/PTO				*Complete if Known*	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/782,481
				Filing Date	02/18/2004
				First Named Inventor	Arthur Telkamp
				Art Unit	2874
(use as many sheets as necessary)				Examiner Name	Not yet assigned
Sheet	1	of	5	Attorney Docket Number	703427.4004

U.S. PATENT DOCUMENTS				
Examiner Initials	Cite No.[1]	U.S. Patent Document Number/Kind Code[2] (if known)	Publication Date MM/DD/YYYY	Name of Patentee or Applicant of Cited Document
	1	4,693,547	09/1987	Soref et al.
	2	5,039,191	07/1991	Myszka
	3	5,235,672	08/1993	Carsin
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	38	FR 00 15751 A1	06/2002	Opsitech Optical System Chip	
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	44	JP 10123373 (abstract only)	05/1998	Kyocera Corp.	
	45	WO 01/77742 A2	10/2001	Lightwave Microsystems Corp.	

OTHER PRIOR ART / NON PATENT LITERATURE DOCUMENTS

Examiner Initials'	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	T[2]
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Sheet	3	of	5	Attorney Docket Number	703427.4004

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Sheet	4	of	5	Attorney Docket Number	703427.4004

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